



09/16/99

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PTO/SB/29 (12/97)

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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No.	8535-026-999	Total Pages	376
		First Named Inventor or Application Identifier			
		Michael Nehls			
		Express Mail Label No.	EL 452 480 100 US		

APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<div>1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>Submit an original, and a duplicate for fee processing</i></div> <div>2. <input checked="" type="checkbox"/> Specification [84 pages] <i>(preferred arrangement set forth below)</i> -Descriptive title of the Invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R&D -Reference to Microfiche Appendix -Background of the Invention -Brief Summary of the Invention -Brief Description of the Drawings <i>(if filed)</i> -Detailed Description of the Invention <i>(including drawings, if filed)</i> -Claim(s) -Abstract of the Disclosure</div> <div>3. <input checked="" type="checkbox"/> Drawing(s) <i>(35 USC 113)</i> [1 page]</div> <div>4. <input checked="" type="checkbox"/> Oath or Declaration (unexecuted) [2 pages] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> [Note Box 5 below] i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).</div> <div>5. <input type="checkbox"/> Incorporation By Reference <i>(useable if Box 4b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</div> <div>6. <input type="checkbox"/> Microfiche Computer Program <i>(Appendix)</i></div> <div>7. <input checked="" type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Copy b. <input checked="" type="checkbox"/> Paper Copy (287 pages) c. <input type="checkbox"/> Statement verifying identity of above copies</div>	ACCOMPANYING APPLICATION PARTS <div>8. <input type="checkbox"/> Assignment Papers</div> <div>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> <i>(unexecuted)</i></div> <div>10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></div> <div>11. Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</div> <div>12. <input type="checkbox"/> Preliminary Amendment</div> <div>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></div> <div>14. <input checked="" type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Status still proper and desired</div> <div>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></div> <div>16. <input type="checkbox"/> Other:</div>	
17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-part (CIP) of prior Provisional Application No: 60/095,989		
18. CORRESPONDENCE ADDRESS		
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 20583 <i>(Insert Customer No. or Attach bar code label here)</i> or <input type="checkbox"/> Correspondence address below		
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PENNIE & EDMONDS LLP
 COUNSELLORS AT LAW
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ATTORNEY DOCKET NO. 8535-026-999Date: September 17, 1999

Assistant Commissioner for Patents
 Box PATENT APPLICATION
 Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): *Nehls et al.*

Executed on: Unexecuted

Title of Invention: **NOVEL HUMAN POLYNUCLEOTIDES AND POLYPEPTIDES ENCODED THEREBY****PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	9	-20	0	\$18.00 each	\$ 0.00
Independent	4	-3	1	\$78.00 each	\$ 78.00
Minimum Fee					\$ 760.00
Multiple Dependency Fee If Applicable (\$260.00)					\$ 0.00
Total					\$ 838.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					- \$ 419.00
Total Filing Fee					\$ 419.00

- ☒ Priority of application no. 60/100,917 filed on September 17, 1998 is claimed under 35 U.S.C. § 119.

A copy of this sheet is enclosed.

Respectfully submitted,

Laura Coruzzi

Laura A. Coruzzi
 PENNIE & EDMONDS LLP

30,742
 (Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.

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**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) -- SMALL BUSINESS CONCERN**

Docket Number (Optional)
8535-026-999

Applicant, Patentee, or Identifier: Michael Nehls et al.
Application or Patent No.: to be assigned
Filed or Issued: concurrently herewith
Title: Novel Human Polynucleotides & Polypeptides Encoded Thereby

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Lexicon Genetics Incorporated

ADDRESS OF SMALL BUSINESS CONCERN 4000 Research Forest Dr., The Woodlands, TX 77381

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ No such persons, concerns, or organizations exist.
☐ each such person, concern, or organization is listed below:

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Arthur T. Sands

TITLE OF PERSON IF OTHER THAN OWNER President & CEO

ADDRESS OF PERSON SIGNING 4000 Research Forest Drive, The Woodlands, TX 77381

SIGNATURE  DATE September 14, 1999

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